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Electronic Filing System (EFS) Data
Electronic Patent Application Submission
USPTO Use Only

EFS ID: 58631
Application ID: 09866500
Title of Invention: METHODS AND SYSTEMS FOR
MANAGING A PORTFOLIO OF
SECURITIES
First Named Inventor: Shayne Young
Domestic/Foreign Application: Domestic Application
Filing Date: 2001-05-25
Effective Receipt Date: 2004-04-07
Submission Type: Information Disclosure
Statement
Filing Type:
Confirmation number: 4454
Attorney Docket Number: 5226-01500



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APR 13 2004




GROUP 3600

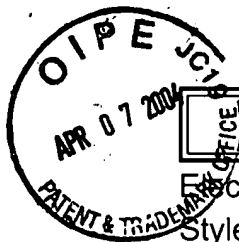
Total Fees Authorized:

Digital Certificate Holder: cn=Eric B. Meyertons,ou=Registered Attorneys,ou=Patent and Trademark
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**TRANSMITTAL**

Electronic Version v1.1
Stylesheet Version v1.1.0

| Title of Invention | METHODS AND SYSTEMS FOR MANAGING A PORTFOLIO OF SECURITIES | | | | | | | | | | | | | | | | | | |
|--|---|--|---|---------------|--|---|--|------------------|----------|------------------------|--------------|--|----------------------|------|--|------------------------------------|--|--|--|
| <table><tr><td>Application Number:</td><td>09/866500</td><td></td><td rowspan="4">RECEIVED APR 18 2004 GROUP 3600</td></tr><tr><td>Date:</td><td>2001-05-25</td><td></td></tr><tr><td>First Named Applicant:</td><td>Shayne Young</td><td></td></tr><tr><td>Confirmation Number:</td><td>4454</td><td></td></tr><tr><td colspan="3">Attorney Docket Number: 5226-01500</td><td></td></tr></table> | | | Application Number: | 09/866500 |  | RECEIVED APR 18 2004 GROUP 3600 | Date: | 2001-05-25 | | First Named Applicant: | Shayne Young | | Confirmation Number: | 4454 | | Attorney Docket Number: 5226-01500 | | | |
| Application Number: | 09/866500 |  | RECEIVED APR 18 2004 GROUP 3600 | | | | | | | | | | | | | | | | |
| Date: | 2001-05-25 | | | | | | | | | | | | | | | | | | |
| First Named Applicant: | Shayne Young | | | | | | | | | | | | | | | | | | |
| Confirmation Number: | 4454 | | | | | | | | | | | | | | | | | | |
| Attorney Docket Number: 5226-01500 | | | | | | | | | | | | | | | | | | | |
| <p>I hereby certify that the use of this system is for OFFICIAL correspondence between patent applicants or their representatives and the USPTO. Fraudulent or other use besides the filing of official correspondence by authorized parties is strictly prohibited, and subject to a fine and/or imprisonment under applicable law.</p> <p>I, the undersigned, certify that I have viewed a display of document(s) being electronically submitted to the United States Patent and Trademark Office, using either the USPTO provided style sheet or software, and that this is the document(s) I intend for initiation or further prosecution of a patent application noted in the submission. This document(s) will become part of the official electronic record at the USPTO.</p> <table border="1"><thead><tr><th>Submitted by:</th><th>Elec. Sign.</th><th>Sign. Capacity</th></tr></thead><tbody><tr><td>Eric B Meyertons Registered Number: 34876</td><td>Eric B Meyertons</td><td>Attorney</td></tr></tbody></table> | | | | Submitted by: | Elec. Sign. | Sign. Capacity | Eric B Meyertons Registered Number: 34876 | Eric B Meyertons | Attorney | | | | | | | | | | |
| Submitted by: | Elec. Sign. | Sign. Capacity | | | | | | | | | | | | | | | | | |
| Eric B Meyertons Registered Number: 34876 | Eric B Meyertons | Attorney | | | | | | | | | | | | | | | | | |
| Documents being submitted us-ids | | Files 5226-Feb2004-usidst.xml us-ids.dtd us-ids.xsl | | | | | | | | | | | | | | | | | |
| Comments | | | | | | | | | | | | | | | | | | | |



ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18
Stylesheet Version v18.0

Title of
Invention

METHODS AND SYSTEMS FOR MANAGING A
PORTFOLIO OF SECURITIES

Application Number: 09/866500
Confirmation Number: 4454
First Named Applicant: Shayne Young
Attorney Docket Number: 5226-01500
Art Unit: 2164
Examiner: Unknown Unknown
Search string: (5809483 or 5946666 or 6401105 or 6408282
or 6510419 or 20020188548 or 20020194111 or
20020194110 or 20030065598 or 20030083974
or 20030041006).pn.



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US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

| init | Cite.No. | Patent No. | Date | Patentee | Kind | Class | Subclass |
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| | 2 | 5946666 | 1999-08-31 | Nevo et al. | | | |
| | 3 | 6401105 | 2002-06-04 | Carlin et al. | | | |
| | 4 | 6408282 | 2002-06-18 | Buist | | | |
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US Published Applications

Note: Applicant is not required to submit a paper copy of cited US Published Applications

| init | Cite.No. | Pub. No. | Date | Applicant | Kind | Class | Subclass |
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|--|---|-------------|------------|-------|----|

Signature

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| Examiner Name | Date |
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